

IN THE UNITED STATES RECEIVING OFFICE (RO/US)
Designated/Elected Office (DO/EO/US)

U.S. National Stage of
International Application No.: PCT/US2004/019187
International Filing Date: 16 June 2004
Earliest Priority Date: 20 June 2003
Applicants: David J. Smith and Michael C. Andrews
Title: PROCESS FOR REDUCING SURFACE ABERRATIONS
Attorney's Docket No.: 3455.1000-005

Date: 14 December 2005

EXPRESS MAIL LABEL NO. EV214901645 US

INFORMATION DISCLOSURE STATEMENT

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
☐ a Statement under 37 CFR 1.97(e), as checked below, or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
☐ a Statement under 37 CFR 1.97(e), as checked below, and
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):
Applicant requests that the IDS and cited reference(s) be placed in the application
filewrapper.
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
 - ☒ Copies of the cited references are enclosed.
 - ☒ Copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
 - ☐ Copies of the cited references are enclosed except those entered in prior application, U.S. Application No. [], to which priority under 35 U.S.C. 120 is claimed. [The earlier application contains copies of the cited references.]
 - ☒ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
 - ☒ The "concise explanation" requirement (non-English references) for reference C1 under 37 CFR 1.98(a)(3) is satisfied by:
 - ☐ the explanation provided on the attached sheet.
 - ☐ the explanation provided in the Specification.
 - ☒ submission of the enclosed International Search Report.
 - ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
 - ☐ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's
Initials

____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []
____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []
____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []

Examiner

Date

- ☐ A copy of each above-cited application, including the current claims, is enclosed, except any application filed on or after June 30, 2003, which has been scanned into the PTO's Image File Wrapper (IFW) system and is available to the examiner.
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.


Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 08-0380 in the amount of \$[]. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By



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Concord, MA 01742-9133
Dated: December 14, 2005

PTO-1449 REPRODUCED INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION December 14, 2005 (Use several sheets if necessary)	ATTORNEY DOCKET NO. 3455.1000-005		APPLICATION NO. 10/561209	
	FIRST NAMED INVENTOR David J. Smith		FILING DATE	
	EXAMINER	CONFIRMATION NO.	GROUP	

U.S. PATENT DOCUMENTS

EXAM- INER INI- TIAL	REF. NO.	DOCUMENT NUMBER Number-Kind Code (if known)	ISSUE DATE / PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT
	A1	3,597,850	08-10-1971	Jenkins, John W.
	A2	5,204,032	04-20-1993	Ramamurthy <i>et al.</i>
	A3	2003/121172	07-03-2003	Kay, Thomas W.
	A4	6,458,910	10-01-2002	Firdaus <i>et al.</i>
	A5	4,552,712	11-12-1985	Ramamurthy , A. V.
	A6			
	A7			
	A8			
	A9			
	A10			
	A11			
	A12			
	A13			
	A14			
	A15			
	A16			
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	A19			
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	A24			
	A25			

EXAMINER	DATE CONSIDERED
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PTO-1449 REPRODUCED INFORMATION DISCLOSURE STATEMENT IN AN APPLICATION December 14, 2005 (Use several sheets if necessary)	ATTORNEY DOCKET NO. 3455.1000-005	APPLICATION NO. 10/561209	
	FIRST NAMED INVENTOR David J. Smith		FILING DATE
	EXAMINER	CONFIRMATION NO.	GROUP

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
	C1	Cardinal, J. Cl., et al., "Folienblasen ohne Schmelzbruch," Dunststoffe, Carl Hanser Verlag. Munchen, DE, 86(9), pp. 1334, 1336 and 1338 (1996).
	C2	
	C3	
	C4	
	C5	
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	C11	
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EXAMINER	DATE CONSIDERED
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